

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. CNF-007

First Named Inventor Fike

Title

MODE CONVERTER INCLUDING TAPERED  
WAVEGUIDE FOR OPTICALLY COUPLING  
PHOTONIC DEVICES

## APPLICATION ELEMENTS

1. ☐ Fee Transmittal Form
2. ☒ Small Entity Status  
☒ Applicant claims small entity status  
☐ Status established in prior application and is still proper and desired
3. ☒ Specification and Drawings [Total Pages 44]  
- Written Description - (22 pages)  
- Claims - (4 pages)  
- Abstract - (1 page)  
- Sheets of Drawings - (17 sheets)  
☐ Formal  
☒ Informal
4. ☐ Oath or Declaration [Total Pages ]  
a. ☐ Newly executed (original)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
5. ☐ Incorporation by Reference (usable if Box 4b is checked)  
The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☒ Application Data Sheet
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
☐ Computer Readable Form (CRF)  
☐ Paper Copy (identical to computer copy)  
☐ CD (2 copies) (identical to computer copy)  
☐ Statement verifying identity of above copies

ADDRESS TO: Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## ACCOMPANYING APPLICATION PARTS

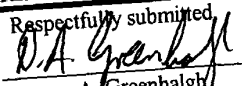
8. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)  
☐ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449  
☐ Copies of IDS Citations
11. ☐ Preliminary Amendment  
☐ Drawings [Total Sheets ]
12. ☒ Return Receipt Postcard (specifically itemized)
13. ☐ Certified Copy of Priority Document(s) (if foreign priority claimed)
14. ☐ Nonpublication Request Under 35 U.S.C. 122(b)
15. ☐ CD in duplicate for large table or computer program
16. ☐ Other:

17. ☒ If a CONTINUING APPLICATION: Amend the specification by inserting on page 1, before the first line, the sentence:  
--This is a ☐ continuation ☐ divisional ☒ continuation-in-part of prior application Serial No. 10/099,482, filed on March 15, 2002, the entire disclosure of which is incorporated by reference herein.--  
Priority to the above application(s) is claimed under 35 U.S.C. 120.  
Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: 2874.
18. ☒ Priority - 35 U.S.C. 119  
☒ Priority of provisional applications Serial Nos. 60/298,753 filed on 06/15/01, 60/351,690 filed on 01/25/02, and 60/412,250 filed on 09/20/02 is claimed under 35 U.S.C. 119.  
☐ The certified copy has been filed in prior U.S. application Serial No. \_\_\_\_/\_\_\_\_ on \_\_\_\_.  
☐ The certified copy will follow.

## CORRESPONDENCE ADDRESS

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## SIGNATURE BLOCK

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